# PATENT COOPERATION TREATY

From the
INTERNATIONAL PRELIMINARY EXAMINING AUTHORITY

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**PCT**

NOTIFICATION OF TRANSMITTAL OF
INTERNATIONAL PRELIMINARY
EXAMINATION REPORT

(PCT Rule 71.1)

| Date of Mailing *(day/month/year)* | **06 MAY 2002** |
|---|---|

| Applicant's or agent's file reference | IMPORTANT NOTIFICATION |
|---|---|
| 7204-33279 | |

| International application No. | International filing date *(day/month/year)* | Priority Date *(day/month/year)* |
|---|---|---|
| PCT/US01/03579 | 02 FEBRUARY 2001 | 03 FEBRUARY 2000 |

Applicant

INTERTECH INFORMATION MANAGEMENT, INC.

1.  The applicant is hereby notified that this International Preliminary Examining Authority transmits herewith the international preliminary examination report and its annexes, if any, established on the international

2.  A copy of the report and its annexes, if any, is being transmitted to the International Bureau for communication to all the elected Offices.

3.  Where required by any of the elected Offices, the International Bureau will prepare an English translation of the report (but not of any annexes) and will transmit such translation to those Offices.

4.  **REMINDER**

    The applicant must enter the national phase before each elected Office by performing certain acts (filing translations and paying national fees) within 30 months from the priority date (or later in some Offices)(Article 39(1))(see also the reminder sent by the International Bureau with Form PCT/IB/301).

    Where a translation of the international application must be furnished to an elected Office, that translation must contain a translation of any annexes to the international preliminary examination report. It is the applicant's responsibility to prepare and furnish such translation directly to each elected Office concerned.

    For further details on the applicable time limits and requirements of the elected Offices, see Volume II of the PCT Applicant's Guide.

| Name and mailing address of the IPEA/US | Authorized officer |
|---|---|
| Commissioner of Patents and Trademarks<br>Box PCT<br>Washington, D.C. 20231 | PATRICE WINDER   *Peggy Harrod* |
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Form PCT/IPEA/416 (July 1992)*

# PATENT COOPERATION TREATY

# PCT

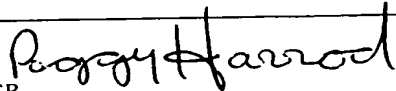## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

### (PCT Article 36 and Rule 70)

| Applicant's or agent's file reference<br><br>7204-33279 | FOR FURTHER ACTION | See Notification of Transmittal of International Preliminary Examination Report (Form PCT/IPEA/416) |
|---|---|---|
| International application No.<br><br>PCT/US01/03579 | International filing date *(day/month/year)*<br><br>02 FEBRUARY 2001 | Priority date *(day/month/year)*<br><br>03 FEBRUARY 2000 |

International Patent Classification (IPC) or national classification and IPC
IPC(7): G06F 15/16 and US Cl.: 707/522; 709/213

Applicant
INTERTECH INFORMATION MANAGEMENT, INC.

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1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.

2. This REPORT consists of a total of _4_ sheets.

    ☑ This report is also accompanied by ANNEXES, i.e., sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority. (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).

    These annexes consist of a total of _0_ sheets.

3. This report contains indications relating to the following items:

    I   [X]   Basis of the report

    II  [ ]   Priority

    III [ ]   Non-establishment of report with regard to novelty, inventive step or industrial applicability

    IV  [ ]   Lack of unity of invention

    V   [X]   Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

    VI  [ ]   Certain documents cited

    VII [ ]   Certain defects in the international application

    VIII[ ]   Certain observations on the international application

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| Date of submission of the demand<br><br>04 SEPTEMBER 2001 | Date of completion of this report<br><br>04 APRIL 2002 |
|---|---|
| Name and mailing address of the IPEA/US<br>    Commissioner of Patents and Trademarks<br>    Box PCT<br>    Washington, D.C. 20231<br><br>Facsimile No.   (703) 305-3230 | Authorized officer<br><br>PATRICE WINDER<br><br>Telephone No.   (703) 305-3938 |

Form PCT/IPEA/409 (cover sheet) (July 1998)*

# INTERNATIONAL PRELIMINARY EXAMINATION REPORT

## I. Basis of the report

1. With regard to the elements of the international application: *

☐ the international application as originally filed

☒ the description:

pages _____(See Attached)_____ , as originally filed

pages _____ , filed with the demand

pages _____ , filed with the letter of _____

☒ the claims:

pages _____(See Attached)_____ , as originally filed

pages _____ , as amended (together with any statement) under Article 19

pages _____ , filed with the demand

pages _____ , filed with the letter of _____

☒ the drawings:

pages _____(See Attached)_____ , as originally filed

pages _____ , filed with the demand

pages _____ , filed with the letter of _____

☒ the sequence listing part of the description:

pages _____(See Attached)_____ , as originally filed

pages _____ , filed with the demand

pages _____ , filed with the letter of _____

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.
These elements were available or furnished to this Authority in the following language _____ which is:

☐ the language of a translation furnished for the purposes of international search (under Rule 23.1(b)).

☐ the language of publication of the international application (under Rule 48.3(b)).

☐ the language of the translation furnished for the purposes of international preliminary examination (under Rules 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

☐ contained in the international application in printed form.

☐ filed together with the international application in computer readable form.

☐ furnished subsequently to this Authority in written form.

☐ furnished subsequently to this Authority in computer readable form.

☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.

☐ The statement that the information recorded in computer readable form is identical to the writen sequence listing has been furnished.

4. ☒ The amendments have resulted in the cancellation of:

☒ the description, pages_____NONE_____

☒ the claims, Nos. _____NONE_____

☒ the drawings, sheets/fig _____NONE_____

5. ☐ This report has been drawn as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).**

\* *Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17).*

\*\**Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.*

Form PCT/IPEA/409 (Box I) (July 1998) *

## V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

### 1. statement

| | | | |
|---|---|---|---|
| Novelty (N) | Claims | 1-52, 54-55 | YES |
| | Claims | 53 | NO |
| Inventive Step (IS) | Claims | 1-52, 54-55 | YES |
| | Claims | 53 | NO |
| Industrial Applicability (IA) | Claims | 1-55 | YES |
| | Claims | NONE | NO |

### 2. citations and explanations (Rule 70.7)

Claim 53 lacks novelty under PCT Article 33(2) as being anticipated by Chen et al., U.S. Patent No. 6,009,442 (hereafter referred to as Chen).

Regarding claim 53, Chen taught a method comprising the steps of:
  a) generating a display including a view of a scanned document with a user interface of a client device, based on document data derived from scanning a document(browser utility 163, col. 11, lines 40-46);
  b) inputting index data into the user interface of the client device (categorization utility 159, col. 8, lines 50-52),
  c) generating a send data signal at the user interface of the client device (col. 9, 10-12);
  d) transmitting the document data and index data from the client device to the server over an internetwork in response to the send data signal generated in step (col. 3, lines 43-59) (c);
  e) receiving the document data and index data at the server (col. 9, lines 55-62); and
  f) storing the document data received in step (e) in association with the index data in a database of a data storage unit (col. 17, lines 40-46).

Claims 1-52 and 54-55 meet the criteria set out in PCT Article 33(2)-(4), because the prior art does not teach or fairly suggest using a control element defined by a hypertext mark-up language document displayed by a web browser

-------------------- NEW CITATIONS --------------------
US 6,009,442 A (CHEN et al.) 28 DECEMBER 1999, see column 7, line 4 - column 12, line 59

**Supplemental Box**
(To be used when the space in any of the preceding boxes is not sufficient)

Continuation of:  Boxes I - VIII                                                        Sheet 10

I. BASIS OF REPORT:

This report has been drawn on the basis of the description,
page(s) 1-15, as originally filed.
page(s) NONE, filed with the demand.
and additional amendments:
NONE

This report has been drawn on the basis of the claims,
page(s) NONE, as originally filed.
page(s) NONE, as amended under Article 19.
page(s) NONE, filed with the demand.
and additional amendments:
pages 16-23, filed with letter of 01 February 2002

This report has been drawn on the basis of the drawings,
page(s) 1-7, as originally filed.
page(s) NONE, filed with the demand.
and additional amendments:
NONE

This report has been drawn on the basis of the sequence listing part of the description:
page(s) NONE, as originally filed.
pages(s) NONE, filed with the demand.
and additional amendments:
NONE

1. A method comprising the steps of:

a) generating a display based on a hypertext mark-up language (HTML) document using a web browser of a user interface of a client device, the display including a document display portion, an index field portion, and a control portion, the document display portion including a display of document data, the index field portion permitting index data to be input to the user interface in association with the document data, and the control portion including at least one control element for generating a start scan signal to initiate scanning of the document with the scanner to generate the document data and a send data signal to transmit the document data with the index data to a server.

2. A method as claimed in claim 1, wherein the control element includes a control element used to alternately generate the start scan signal and the send data signal with respective successive activations of the control element.

3. A method as claimed in claim 1, wherein the control element is activatable to adjust the scale of the display of the document data.

4. A method as claimed in claim 3, wherein the control element is activatable to increase the scale of the display of the document data ("zoom in").

5. A method as claimed in claim 3, wherein the control element is activatable to decrease the scale of the document data ("zoom out").

6. A method as claimed in claim 3, wherein the control element is activatable to scale the document data to fit within the document display portion of the user interface.

7. A method as claimed in claim 3, wherein the control element is activatable to scale the document data for display in the document display portion to the same scale as the scanned document.

8. A method as claimed in claim 3, wherein the control element includes a control element to select document data from among a plurality of scanned documents for display on the document display portion of the display.

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9. A method comprising the steps of:

  a) generating a start scan signal using a control element defined by a hypertext mark-up language (HTML) document displayed by a web browser of a user interface of a client device;

  b) transmitting the start scan signal from the client device to a scanner;

  c) receiving the start scan signal at the scanner; and

  d) scanning a document with the scanner to generate document data, in response to the start scan signal received in said step (c).

10. A method as claimed in claim 9, wherein said step (a) is performed by depressing and releasing a control element of the user interface of the client device using a mouse.

11. A method as claimed in claim 9, further comprising the steps of:

  e) transmitting the document data from the scanner to the client device;

  f) receiving the document data at the client device; and

  g) generating a display including the scanned document on the user interface of the client device, based on the document data received in said step (f).

12. A method as claimed in claim 11, further comprising the step of:

  h) adjusting the display of the scanned document via the user interface.

13. A method as claimed in claim 12, wherein the adjusting of said step (h) includes increasing the scale of the display of the scanned document ("zooming in") on the user interface.

14. A method as claimed in claim 12, wherein the adjusting of said step (h) includes decreasing the scale of the display of the scanned document ("zooming out") on the user interface.

15. A method as claimed in claim 12, wherein the adjusting of said step (h) includes scaling the display of the scanned document to fit within the document display portion of the display of the user interface of the client device.

16. A method as claimed in claim 12, wherein the adjusting of said step (h) includes generating the display of the scanned document on the user interface of the client device with the same scale as the scanned document.

17. A method as claimed in claim 11, further comprising the step of:

  h) generating a multiscan mode signal at a user interface of the client device, said steps (d) - (f) repeatedly performed to generate document data for a plurality of documents, based on the multimode scan signal.

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18. A method as claimed in claim 17, further comprising the steps of:

i) generating a selection signal at the client device indicating at least one of the first, last, next and previous scanned documents for display; and

j) displaying the document data for one of the scanned documents, based on the selection signal generated in said step (i).

19. A method as claimed in claim 11, further comprising the steps of::

h) inputting predetermined index data into an index field of the HTML document displayed by the web browser of the user interface of the client device;

i) generating a send data signal using the control element of the HTML document displayed by the web browser of the user interface of the client device;

j) transmitting the document data and index data from the client device to the server in response to the send data signal generated in said step (i);

k) receiving the document data and index data at the server; and

l) storing the document data in association with the index data in a database of a data storage unit.

20. A method as claimed in claim 19, wherein the index data includes predetermined identification data to identify the document.

21. A method as claimed in claim 19, wherein the document data and the index data are transmitted between the server and client device in hypertext transfer protocol (HTTP) format.

22. A method as claimed in claim 19, wherein the start scan signal and the send data signal are input by a user via a common control element of the user interface that toggles between a first scan mode for the performance of said step (a) and a second send mode for the performance of said step (i).

23. A method as claimed in claim 19, wherein the start scan signal is input by a user via a first control element of the user interface for a first scan mode in the performance of said step (a) the send data signal is input by a user via a second control element of the user interface in the performance of said step (i).

24. A method as claimed in claim 9, further comprising the step of:

e) generating a display of the scanned document on the user interface via the client device, based on the document data.

25. A method as claimed in claim 9, further comprising the steps of:

e) transmitting the document data from the scanner to a server.

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26. A method comprising the steps of:

a) generating a start scan signal using a control element defined by a hypertext mark-up language (HTML) document displayed by a web browser of a user interface of a client device;

b) transmitting the start scan signal from the client device to a scanner;

c) receiving the start scan signal at the scanner;

d) scanning a document with the scanner to generate document data, in response to the start scan signal received in said step (c);

e) transmitting the document data from the scanner to the client device;

f) receiving the document data at the client device;

g) generating a display including the scanned document in the HTML document displayed within the web browser of the user interface of the client device, based on the document data received in said step (f);

h) inputting predetermined index data into a field defined in the HTML document displayed by the web browser of the user interface of the client device;

i) generating a send data signal using a control element defined in the HTML document displayed by the web browser of the user interface of the client device;

j) transmitting the document data and index data from the client device to the server over an internetwork in response to the send data signal generated in said step (i);

k) receiving the document data and index data at the server; and

l) storing the document data received in step (k) in association with the index data in a database of a data storage unit.

27. A method as claimed in claim 26, further comprising the step of:

m) adjusting the display of the scanned document via the user interface.

28. A method as claimed in claim 27, wherein the adjusting of said step (m) includes increasing the scale of the display of the scanned document ("zooming in") on the user interface.

29. A method as claimed in claim 27, wherein the adjusting of said step (m) includes decreasing the scale of the display of the scanned document ("zooming out") on the user interface.

30. A method as claimed in claim 27, wherein the adjusting of said step (m) includes scaling the display of the scanned document to fit within the document display portion of the display of the user interface of the client device.

31. A method as claimed in claim 27, wherein the adjusting of said step (m) includes generating the display of the scanned document on the user interface of the client device with the same scale as the scanned document.

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32. A method as claimed in claim 26, further comprising the step of:

m) generating a multiscan mode signal at a user interface of the client device, said steps (d) - (f) repeatedly performed to generate document data for a plurality of documents, based on the multimode scan signal.

33. A method as claimed in claim 26, further comprising the steps of:

m) generating a selection signal at the client device indicating at least one of the first, last, next and previous scanned documents for display; and

n) displaying the document data for one of the scanned documents, based on the selection signal generated in said step (i).

34. A method as claimed in claim 26, wherein the index data includes predetermined identification data to identify the document.

35. A method as claimed in claim 26, wherein the document data and the index data are transmitted in said step (j) between the server and client device in hypertext transfer protocol (HTTP) format.

36. A method as claimed in claim 26, wherein the start scan signal and the send data signal are input by a user via a common control element of the user interface that toggles between a first scan mode for the performance of said step (a) and a second send mode for the performance of said step (i).

37. A method as claimed in claim 26, wherein the start scan signal is input by a user via a first control element of the user interface for a first scan mode in the performance of said step (a) the send data signal is input by a user via a second control element of the user interface in the performance of said step (i).

38. A system for use with at least one document, the system comprising:

a client device including

a processor;

a memory coupled to the processor;

an input device coupled to the processor; and

a display unit coupled processor;

a scanner coupled to the processor; and

at least one server coupled to the processor,

the processor operating under a predetermined control program stored in the memory to generate a display based on a hypertext mark-up language (HTML) document on the display unit, the display generated by the HTML document including a document display portion, an index field portion, and a control portion, the document display portion displaying document data generated by scanning the document with the scanner, the index field portion permitting index data to be input via the input device for association with the document data, and a control portion including at least one control element for use in generating at least a start scan signal with the input device to initiate scanning of the document with the scanner and for use in generating a send data signal with the input device to transmit the document data with the index data to the server.

39. A system as claimed in claim 38, wherein the control element alternates between generating the start scan signal and the send data signal between successive activations of the control element with the input device.

40. A system as claimed in claim 38, wherein the control element can be used with the input device to adjust the scale of the display of the document data.

41. A system as claimed in claim 38, wherein the control element can be used with the input device to increase the scale of the display of the document data ("zoom in").

42. A system as claimed in claim 38, wherein the control element can be used with the input device to decrease the scale of the display of the document data ("zoom out").

43. A system as claimed in claim 38, wherein the control element can be used with the input device to scale the document data to fit within the document display portion of the user interface.

44. A system as claimed in claim 38, wherein the control element can be used with the input device to scale the document data for display in the document display portion to the same scale as the scanned document.

45. A system as claimed in claim 38, wherein the control element can be used with the input device to select document data from among a plurality of scanned documents for display on the document display portion of the display.

46. A system as claimed in claim 38, wherein the server receives document data and index data from the server, the system further comprising:

a database storage unit coupled to the server, for storing the index data in association with the document data from the processor.

47. A system used to scan a document, the system coupled to a network, the system comprising:

a client device;

a scanner coupled to the client device;

a server coupled to the client device via the network; and

a database storage unit coupled to the server,

the client device receiving document data generated by the scanner by scanning a document, the client device having a user interface capable of generating a display by execution of an hypertext mark-up language (HTML) document by the processor, the display including a document display portion, an index field portion, and a control portion, the document display portion displaying document data generated by scanning the document with the scanner, the index field portion permitting index data to be input via an input device of the client device for association with the document data, and a control portion including at least one control element for use in generating at least a start scan signal with the input device to initiate scanning of the document with the scanner and for use in generating a send data signal with the input device to transmit the document data with the index data to the server, the server storing the document data and index data in the database storage unit.

48. A system as claimed in claim 47, wherein the network includes an internetwork.

49. A system as claimed in claim 47, wherein the client device includes a personal computer.

50. A system as claimed in claim 47, wherein the user interface includes a web browser in which the document data is displayed.

51. A system coupled to a network, the system operated by at least one user, the system comprising:

a plurality of subsystems coupled to the network, the subsystems having respective client devices capable of displaying document data included within respective hypertext mark-up language (HTML) documents displayed on corresponding web browsers thereof, at least one of the subsystems including a scanner coupled to a respective client device, the scanner generating the document data by scanning a document based on a first command from a user, the client device receiving the document data from the scanner and generating a display of the document in the browser thereof, the client device transmitting the document data based on a second command from the user;

at least one server coupled to the network, the server receiving the document data from the client device; and

a database storage unit coupled to the server, the database storage unit storing the document data so that the subsystems can access the document data.

52. A system as claimed in claim 51, wherein the network includes an internetwork.

53. A method comprising the steps of:

a) generating a display including a view of a scanned document with a user interface of a client device based on document data derived from scanning a document;

b) inputting index data into the user interface of the client device;

c) generating a send data signal at the user interface of the client device;

d) transmitting the document data and index data from the client device to the server over an internetwork in response to the send data signal generated in said step (c);

e) receiving the document data and index data at the server; and

f) storing the document data received in step (e) in association with the index data in a database of a data storage unit.

54. A method as claimed in claim 53 wherein the display of the scanned document is included in a hypertext mark-up language (HTML) document displayed by a web browser of the client device's user interface.

55. A method as claimed in claim 54 wherein the send data signal is generated in step (c) by activating a control element defined in the HTML document.

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